



Administrative Policies and Procedures: 7.13

Subject:	Records Disposition Authorization (RDA) Development and Review Process
Authority:	TCA 10-7-301; 37-5-105, 37-5-106
Standards:	COA: RPM 6.01, 6.02
Application:	To All Department of Children's Services Employees

Policy Statement:

All Department of Children's Services (DCS) employees shall comply with the Department of General Services Records Management Division - Statewide Records Disposition Authority and DCS Records Disposition Authority (RDA) policies and procedures in effectively managing agency business records in all media.

Purpose:

State government, through the Public Records Commission (PRC), utilizes the RDA process to determine and order the proper disposition, including preservation, reproduction, retention, and destruction of state information. The RDA identifies record ownership, retention schedule and media format, transfer timeframes to off-site storage facilities, i.e., records center, library and archives, data center and when the information may be destroyed.

Procedures:

A. RDA development	<ol style="list-style-type: none">1. Forms GS-0522, Department of General Services Records Inventory Worksheet and GS-0524, Department of General Services Records Disposition Authorization will be completed with a sample of the record series under consideration, will be submitted to the departmental records officer (DRO) for review and processing. The Commissioner, or his/her designee, will review and approve all departmental RDA requests submitted to the PRC.2. The DCS RDA Review Committee will review RDA requests. Approved statewide and DCS RDAs and retention policies are available on the DCS Internet website, http://www.state.tn.us/youth/dcsguide/policies.htm; via DCS <i>Records Disposition Authority Policies</i>.
B. Divisional, regional, and juvenile justice	Each division, regional office, and juvenile justice facility is responsible for organizing and filing record series in a logical and systematic manner for ease of retrieval and for periodic review in order to determine continued retention or

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facilities responsibilities	<p>destruction. Directors, regional administrators, YDC superintendents and DCS group home directors will be responsible for designating a records coordinator/clerk (RC) to perform the following records management job assignments:</p> <ol style="list-style-type: none">1. Complete the <i>GS-0522, Department of General Services Records Inventory Worksheet</i>, and <i>GS-0524, Department of General Services Records Disposition Authorization</i>, if appropriate, for each record series and forward to the DRO for review and processing.2. Submit annual record holdings report by August 1 to the DRO identifying record types/volumes stored in DCS offices and any off-site storage areas (e.g., state records center, data center or commercial sites).3. Compile annual "operation roundfile" volumes and submit information to the DRO.4. Coordinate record storage, destruction, and disaster recovery activities.5. Prepare and track records designated for microfilming, imaging, and/or destruction.6. Maintain a tracking log for release of information requests and disclosures.
C. Annual review	<p>RDAs will be reviewed annually to ensure that retention schedules are current. The DRO will notify the PRC of all RDA revisions.</p>
D. RDA monitoring	<ol style="list-style-type: none">1. The office of records management will conduct records management compliance monitoring on a regular basis. DCS divisions, regional offices and juvenile justice facilities will be periodically inspected/audited by records management staff to:<ol style="list-style-type: none">a) Identify new record series that require a RDA;b) Identify record series that are no longer produced and should be deleted from the RDA schedule;c) Update records retention periods and policies to comply with current administrative, fiscal, legal, research and historical requirements;d) Verify DCS records management compliance with applicable policies, standards and court mandates.2. DCS divisions will normally be advised thirty (30) days in advance and will be required to appoint an individual to work with the records management staff during the records inspection/audit.3. An exit conference will be conducted and a formal report will be prepared and submitted to appropriate supervisory personnel. Any issues mentioned in the report as being in non-compliance will require a response by appropriate management personnel noting the action plan to be undertaken to correct the non-compliance. Areas of non-compliance will be forwarded to the appropriate Executive Director.

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E. Records retention and destruction	<ol style="list-style-type: none">1. Each office will incorporate appropriate file management procedures in order to reduce retention and retrieval costs associated with equipment, office or off-site space and computer memory required for storage.2. Official business records must not be destroyed without RDA authorization. If a RDA has not been developed for the record series, contact the RC or DRO for assistance.3. Form GS-0989, Department of General Services Certificate of Records Destruction will be completed and forwarded to the RC and DRO when records are destroyed.4. In the event that the Department of Children's Services is dissolved, all departmental records will be provided to the appropriate agency/department that assumes control over the program area affected.
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Forms:	<p><u>GS-0522, Department of General Services Records Inventory Worksheet</u></p> <p><u>GS-0969, Department of General Services Electronic Records Inventory Worksheet</u></p> <p><u>GS-0524, Department of General Services Records Disposition Authorization</u></p> <p><u>GS-0704, Department of General Services Records Holding Report</u></p> <p><u>GS-0989, Department of General Services Certificate of Records Destruction</u></p>
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Collateral documents:	<p><u>Department of General Services Records Management Division - Statewide Records Disposition Authority</u></p> <p>Department of Children's Services Records Disposition Authority Policies</p> <p><u>http://www.state.tn.us/youth/dcsguide/policies.htm</u></p>
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